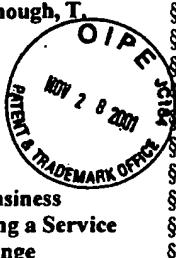


In re application: McDonough, T.



Serial No.: 09/539,132

Filed: March 30, 2000

For: Mechanism and Business
Method for Implementing a Service
Contract Futures Exchange

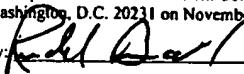
Group Art Unit: 2164

Examiner: Felton, D.

Attorney Docket No.: CMCDO.00001

Certificate of Mailing Under 37 C.F.R. § 1.8(a)

I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on November 19, 2001.

By: 

Assistant Commissioner for Patents
Washington, D.C. 20231
Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to the guidelines for Information Disclosure Statements set forth in 37 C.F.R. §§ 1.97-1.98 and MPEP § 609, Applicant submits herewith patents, publications, or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty of disclosure in accordance with 37 C.F.R. 1.56.

A list of patent(s) and/or publications(s) is set forth on the attached Form PTO-1449. A copy of each item listed is supplied herewith.

It is submitted that these references do not disclose, teach, or suggest the present invention and thus the claims herein are patently distinct therefrom.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. 1.56, it is not intended to constitute an admission that any patent, publication, or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. 1.97(b) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. 1.56(a) exists.

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an



The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. 1.97(b).

The person making this statement is the practitioner who signs below.

Respectfully submitted,

RECEIVED

APR 11 2001

Technology Center 2100

March 29, 2001

Rudolph J. Buchel, Jr.
Reg. No. 43,448
7113 Dobbins Drive
Plano, TX 75025
(972) 943-1794

ATTORNEY FOR APPLICANT

CERTIFICATE OF MAILING

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature

Rudolph J. Buchel Jr

(type or print name of person certifying)

Date: March 29, 2001

DL - 1137594

U.S. DEPT. OF COMMERCE PATENT AND TRADEMARK OFFICE

Page 1 of 1

Form PTO-1449

LIST OF PRIOR ART CITED
BY APPLICANT

APR 08 2001
U.S. PATENT & TRADEMARK OFFICE

RECEIVED
APR 11 2001
Technology Center 2100

| ATTORNEY DOCKET NO. CMCDO.00001 | SERIAL NO. 09/539,132 | | | | |
|--|---------------------------|---------------------|---------------|--------------------|-----------------------|
| APPLICANT MCDONOUGH | | | | | |
| FILING DATE 3/300 | GROUP ART UNIT UNKNOWN | | | | |
| U.S. PATENT DOCUMENTS | | | | | |
| EXAMINER INITIAL | DOCUMENT NO. | PUBLICATION DATE | INVENTOR NAME | CLASS/ SUBCLASS | FILING DATE |
| AA | 6,087,532 | 5/23/00 | Gebb | | |
| FOREIGN PATENT DOCUMENTS | | | | | |
| EXAMINER INITIAL | DOCUMENT NO. | PUBLICATION DATE | COUNTRY | CLASS/ SUBCLASS | TRANSLATION YES NO |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| OTHER PRIOR ART (including author, title, date, pertinent page, etc.) | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| DATE CONSIDERED | EXAMINER | | | | |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | |

0001RF-10849776.1



Socket No. CMCDO.00001

PATENT

In The United States Patent and Trademark Office

In re Application of: McDonough

Serial No.: 09/539,132

Filed: 3/30/00

For: **Mechanism and Business Method for Implementing a Service Contract Futures Exchange**

RECEIVED

APR 11 2001

Group No.: UNKNOWN
Examiner: NOT ASSIGNED

Technology Center 2100

BOX DD
ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Pursuant to the guidelines for Information Disclosure Statements set forth in 37 C.F.R. §§ 1.97-1.98 and MPEP § 609, Applicant submits herewith patents, publications, or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty of disclosure in accordance with 37 C.F.R. 1.56.

A list of patent(s) and/or publications(s) is set forth on the attached Form PTO-1449. A copy of each item listed is supplied herewith.

It is submitted that these references do not disclose, teach, or suggest the present invention and thus the claims herein are patently distinct therefrom.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. 1.56, it is not intended to constitute an admission that any patent, publication, or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. 1.97(b) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. 1.56(a) exists.

DL - 1137594

international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. 1.97(b).

The person making this statement is the practitioner who signs below.
Respectfully submitted,

November 19, 2001



Rudolph J. Buchel, Jr.
Registration No. 43,448
7113 Dobbins Drive
Plano, Texas 75025

ATTORNEY FOR APPLICANT

U.S. DEPT. OF COMMERCE PATENT AND TRADEMARK OFFICE

Page 1 of 1

| Form PTO-1449 | | ATTORNEY DOCKET NO. CMCDO.00001 | SERIAL NO. 09/539,132 | | |
|--|--------------|---|--------------------------|-----------------|-----------------------|
| LIST OF PRIOR ART CITED BY APPLICANT (Use several sheets if necessary) | | RECEIVED NOV 30 2000 Technology Center 2100 | | | |
|  | | APPLICANT MCDONOUGH | FILING DATE 3/30/2000 | | |
| | | GROUP ART UNIT 2164 | | | |
| U.S. PATENT DOCUMENTS | | | | | |
| EXAMINER INITIAL | DOCUMENT NO. | PUBLICATION DATE | INVENTOR NAME | CLASS/ SUBCLASS | FILING DATE |
| AA | 4,903,201 | 2/20/90 | Wagner | | |
| AB | 5,787,402 | 7/28/98 | Potter, et al. | | |
| AC | 5,974,403 | 10/26/99 | Takriti, et al. | | |
| AD | 6,035,289 | 3/7/00 | Chou, et al. | | |
| AE | 6,047,274 | 4/4/00 | Johnson, et al. | | |
| AF | 6,236,972 | 5/22/00 | Shkedy | | |
| FOREIGN PATENT DOCUMENTS | | | | | |
| EXAMINER INITIAL | DOCUMENT NO. | PUBLICATION DATE | COUNTRY | CLASS/ SUBCLASS | TRANSLATION YES NO |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| OTHER PRIOR ART (including author, title, date, pertinent page, etc.) | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| DATE CONSIDERED | | EXAMINER | | | |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | |

Certificate of Mailing Under 37 C.F.R. § 1.8(a)
I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on November 19, 2001.

By: 